

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Rulemaking to implement the provisions of
Public Utilities Code § 761.3 enacted by
Chapter 19 of the 2001-02 Second Extraordinary
Legislative Session.

Rulemaking 02-11-039
(Filed November 21, 2002)

**ADMINISTRATIVE LAW JUDGE'S RULING
SETTING DATES FOR COMMENTS ON COMMISSION
IMPLEMENTATION AND ENFORCEMENT OF
HYDROELECTRIC LOGBOOK STANDARDS**

Comments on Hydroelectric Logbook Standards

On April 7, 2004, the California Electricity Generation Facilities Standards Committee (Committee) adopted Resolution No. 4 regarding Hydroelectric Logbook Standards. (Copy attached in Appendix 1.) The Commission must now consider implementation and enforcement.

Parties may file and serve pleadings (e.g., proposals, comments, reply comments, motions, responses to motions) regarding Commission implementation and enforcement by the dates stated in the schedule adopted below. Parties should address the issues identified in the Scoping Memo dated February 19, 2003. Parties should also address Commission implementation and enforcement of Hydroelectric Logbook Standards through a General Order (GO), as proposed in the Draft Decision of Administrative Law Judge (ALJ) Thorson mailed February 27, 2004. Parties need not repeat comments already stated in prior pleadings, but should summarize those comments, and may amend, change or add new comments.

In particular, parties with specific recommendations should make proposals in the form and format of the proposed GO. One proposal for Section 6 of the proposed GO is contained in Appendix 2. Parties should comment on that proposal, and should propose the exact wording for Section 6, and the wording for necessary changes, if any, to other portions of the GO, that the party recommends for adoption by the Commission.

Potentially no comments will be filed which would necessitate the filing of a separate draft decision for a round of comment. If this is the case, implementation and enforcement of the Hydroelectric Logbook Standards will be accomplished by the incorporation of changes to the Draft Decision of ALJ Thorson regarding the General Order (next on the Commission's agenda for its meeting on May 6, 2004). This approach will promote efficient use of parties' and the Commission's time and resources. Parties may comment on this approach.

Reminder on Filing and Service of Pleadings

As stated in the Scoping Memos dated February 19, 2003, and May 2, 2003, parties should use the same outline for filed pleadings, to the fullest extent reasonably possible. An original and four copies of each pleading must be filed with the Commission. Service shall be by electronic mail, with a paper copy served on each person who does not have an electronic mail address, and on each person who requests a paper copy. Paper service in addition to electronic service shall be performed on ALJs Thorson and Mattson.

IT IS RULED that parties may file and serve pleadings on Commission implementation and enforcement of the Hydroelectric Logbook Standards contained in Appendix 1. Pleadings shall be filed and served by the dates stated in the schedule adopted below. In addition to any other comments, each party

with specific recommendations shall make proposals in the form and format of the proposed General Order. This shall include the party's exact wording for Section 6 of the proposed General Order, and the wording for necessary changes, if any, to other portions of the General Order.

ADOPTED SCHEDULE

Item	Date
Proposals and Comments filed and served on Commission implementation and enforcement of Hydroelectric Logbook Standards	4/16/04
Reply Comments filed and served	4/22
Motions for Formal Hearing (FH) [1]	4/26
Responses to Motions for FH	4/27

[1] See Scoping Memo (February 19, 2003, pages 3-4) for items that must be included in any such motion.

Dated April 9, 2004, at San Francisco, California.

/s/ BURTON W. MATTSON

Burton W. Mattson
Administrative Law Judge

APPENDIX 1

**RESOLUTION NO. 4
OF THE
CALIFORNIA ELECTRICITY GENERATION
FACILITIES STANDARDS COMMITTEE
REGARDING
HYDROELECTRIC LOGBOOK STANDARDS**

**CALIFORNIA ELECTRICITY GENERATION
FACILITIES STANDARDS COMMITTEE**

RESOLUTION NO. 4
Adopted April 7, 2004

Logbook Standards For Hydroelectric Generating Facilities

WHEREAS the People of the State of California and the California Legislature have found, declared, and enacted the following in Senate Bill No. X2 39 (Chapter 19, Statutes of 2001-2002, Second Extraordinary Session):

- (a) Electric generating facilities and powerplants in California are essential facilities for maintaining and protecting the public health and safety of California residents and businesses.
- (b) It is in the public interest to ensure that electric generating facilities and powerplants located in California are effectively and appropriately maintained and efficiently operated.
- (c) Owners and operators of electric generating facilities and powerplants provide a critical and essential good to the California public.
- (d) To protect the public health and safety, and to ensure electrical service reliability and adequacy, the California Public Utilities Commission (Commission) and the California Independent System Operator (CAISO) are directed to work collaboratively to develop clearly articulated, uniform standards; the California Electricity Generation Facilities Standards Committee (Committee) is established to develop and adopt those standards; and the Commission is directed to enforce those standards.

WHEREAS Senate Bill No. X2 39 and Public Utilities Code § 761.3 direct the Committee to adopt, and the Commission to implement and enforce, standards for the maintenance and operation of facilities for the generation of electric energy owned by an electrical corporation or located in California.

WHEREAS at a meeting on April 1, 2003, the Committee adopted Electricity Generating Facility Logbook Standards applicable to thermal powerplants, and directed that staff develop similar standards for hydroelectric powerplants.

WHEREAS at a meeting on May 2, 2003, the Committee reviewed staff proposed draft Logbook Standards for Hydroelectric Generating Facilities, and directed that comment be sought on those draft standards.

WHEREAS on May 9, 2003, the Presiding Officer served those draft standards for comment on participants before the Committee.

WHEREAS, on May 19, 2003 comments were served, and on May 23, 2003, reply comments were served, by Pacific Gas and Electric Company and Southern California Edison Company.

WHEREAS on July 1, 2003, the Committee staff held a workshop to review modifications to the draft standards; between July 18, 2003, and on October 14, 2003, the Committee staff and representatives from Pacific Gas and Electric Company and Southern California Edison Company exchanged revised drafts; and on November 20, 2003, a consensus was reached.

WHEREAS the comments and workshops have guided the revisions now contained in a consensus document (see Attachment A).

And **WHEREAS** on April 2, 2004 a draft resolution and final proposed Logbook Standards for Hydroelectric Generating Facilities were served on the Committee and participants.

THEREFORE, IT IS RESOLVED AND ORDERED by the California Electricity Generation Facilities Standards Committee (Committee) that:

1. Logbook Standards for Hydroelectric Generating Facilities contained in Attachment A are adopted.
2. Committee Staff shall both (a) file this Resolution and s Logbook Standards for Hydroelectric Generating Facilities with the California Public Utilities Commission, and (b) serve these items by electronic mail on the service list of participants before the Committee. Committee Staff shall do this as soon as reasonably possible.
3. This Resolution is effective today.

Dated April 7, 2004, at San Francisco, California.

Certification of Staff Director:

I certify that the foregoing resolution was duly introduced, passed, and adopted at a meeting of the California Electricity Generation Facilities Standards Committee held on _____, the following members voting favorably thereon:

Carl W. Wood, Presiding Officer
Michael Kahn, Member
Glenn Bjorklund, Member

/s/ _____
Richard Clark
Committee Staff Director

LOGBOOK STANDARDS FOR HYDROELECTRIC GENERATING FACILITIES

(Adopted April 7, 2004)

I. PURPOSE

The intent of this document is to define requirements for operation logs for attended and unattended hydroelectric generating facilities. These standards are intended to ensure that operating information associated with normal operation, maintenance, and abnormal activities are properly recorded and available for review and analysis by regulatory agencies

II. GENERAL

Owners of hydroelectric generating facilities shall maintain logbooks or other data collection systems that contain the chronological, real-time operational history of the facilities. Logbooks shall include accurate and concise entries regarding the operations and maintenance of the facility and overall status of the generating units and auxiliary equipment. Logbooks shall be maintained at attended facilities, control centers for unattended facilities, and unattended facilities, as described more fully below.

Logbooks shall include, as appropriate, entries of important and/or unusual events relating to safety, accidents, environmental matters, and any other information pertinent to operations. Where information is unit specific, information for each unit must be recorded and so identified. Logbooks shall also contain entries noting operations and maintenance communications between the facility operator and outside entities, including but not limited to the Independent System Operator (ISO), scheduling coordinators or headquarters facilities, regulators, environmental agencies, CalOSHA or similar agencies. The logbooks shall be maintained notwithstanding and in addition to any other similar requirements that mandate that events be recorded.

Owners of hydroelectric generating facilities must collect and record, either through automated data collection systems, written logbooks, or both, all information specified in this standard. Such information must be readily available to operators, California Public Utilities Commission staff, and other authorized personnel at all times, and must be kept for a minimum period of five years from the date of collection. The owner of the hydroelectric facility is responsible for maintaining the integrity of the information collected and recorded. Any corrections to logbook entries shall be made in a manner that preserves the legibility or integrity of the original entry, and identifies the date and time of the correction. Each utility (and facility) will maintain a list of any approved abbreviations used by operators in that utility (and that particular facility), along with a definition of each abbreviation.

III. REQUIRED INFORMATION

A. Attended Facilities and Control Centers for Unattended Facilities

Logbooks at attended facilities and control centers for unattended facilities shall be the chronological, real-time record of the operation and maintenance activities that occur either at the attended facility or the unattended facilities within the jurisdiction of the control center, respectively.

Information collected and recorded by automatic devices may be maintained separately and need not be entered in the logbook itself, provided that the information is available for review and shall be maintained in accordance with the standards set forth herein for the daily operations logbooks.

Each logbook shall consist of accurate, concise entries and shall contain at least the information specified below. To the extent any of the information below is not available to the control center operator, it shall be captured either by automated systems or recorded in the Unattended Facilities Log.

1. Orders and other communications received and transmitted by the operator, as appropriate, including but not limited to those from or to the Independent System Operator (ISO); scheduling coordinators, headquarters facilities and/or dispatchers; transmission operating centers; regulators; environmental agencies; CalOSHA; or similar agencies;
2. Actions taken by the operator to change load, derate the unit, or take the unit off line,
3. Operational data, including power production (load) levels, water flows, the availability and operation of automatic generation control (AGC), and any generation limits applicable to AGC operation other than the normal limits specified in the Participating Generator Agreement with the California Independent System Operator;
4. Operation of system protection relays;
5. Water regulation (e.g., downstream water requirements, FERC license requirements);
6. Unit separation and parallel times;
7. Clearances/Work authorizations;
8. Reporting on and off clearances;
9. Start and completion of switching operations;
10. The application, removal, moving, or change in location and/or number of grounding devices;
11. Site emergency activities; including but not limited to accidents, spills and earthquakes;
12. Trouble reports; including but not limited to those involving equipment failures and those from outside persons or entities;
13. Daily operations, including unit outages and de-ratings, Automatic Voltage Regulator/Power System Stabilizer operations, voltage operations, governor operations, and black-start operations, if applicable;
14. Special system setups for hydraulic, mechanical, electrical or pneumatic systems.

Each entry shall include the time, location and description of event, including, as relevant, the equipment involved, loads and other readings, voltage orders, directed load changes, deviations from generation schedules, weather, annunciator alarms or other indications, relay target information including device number, limitations, notifications, and corrective actions. Entries noting communications between the operator and outside parties shall include the names of the persons involved in the communication.

B. Unattended Facilities

Logbooks at unattended facilities shall be the chronological record of operation and maintenance activities that occur when personnel visit an unattended facility. Entries in logbooks at unattended facilities shall be made consecutively and shall include the following information, as applicable:

1. Time and date of entry and exit;
2. Name(s) of personnel entering/exiting the station;
3. Location of event;
4. Text description of event/reason for entering station;
5. All information pertinent to event, including but not limited to equipment involved, loads and other readings, voltage orders, directed load changes, deviations, weather, annunciator alarms or other indications, relay target information including device number, curtailments, limitations, notifications, corrective actions;
6. The application, removal, moving, or change in location and/or number of grounding devices;
7. Clearances/Work authorizations.

(END OF APPENDIX 1)

APPENDIX 2

**DRAFT OF GENERAL ORDER
SECTION 6
GENERATOR LOGBOOK STANDARDS
(HYDROELECTRIC ENERGY)**

6.0 GENERATOR LOGBOOK STANDARDS (HYDROELECTRIC ENERGY)

- 6.1 Required Logbooks. Unless exempted, all Generating Asset Owners shall maintain facility logbooks in conformance with the Logbook Standards for Hydroelectric Facilities for those Generating Assets generating electricity by the use of hydroelectric energy.
- 6.2 Exemption. Locally-controlled generating assets where the total nameplate rating generating capacity at that plant or location is less than 50 megawatts are exempt from subsections 6.1, 6.3, 6.4, 6.5, and 6.6. Remotely-controlled generating assets controlled by a remote control or switching center than controls less than 50 megawatts are also exempt from subsections 6.1, 6.3, 6.4, 6.5, and 6.6. Notwithstanding these exemptions, all plants are required to keep reasonable logbooks consistent with prudent industry practice as required by the General Duty Standards for Operation and Maintenance. The Executive Director may exempt other categories of Generating Assets from subsections 6.1, 6.3, 6.4, 6.5, and 6.6 based on vintage, technology, megawatt capacity or ownership.
- 6.3 Verified Statement. For each Generating Asset, the Generating Asset Owner shall file one original verified statement with the Director of the Commission's CPSD. The verified statement shall include at least the following:
- 6.3.1 The identify of the Generating Asset owned by an electrical corporation or located in California (with relevant identification and contact information);
 - 6.3.2 Confirmation that the facility is maintaining logbooks in conformance with the Logbook Standards for Hydroelectric Facilities adopted by the California Electricity Generation Facilities Standards Committee;
 - 6.3.3 Confirmation that the compliance document required by subsection 6.6 has been prepared and is available at the generation facility site or remote control or switching center;
 - 6.3.4 Confirmation that logbooks and the compliance document are being and will be updated and maintained as necessary; and
 - 6.3.5 Signature, name, title, address, telephone number, facsimile number, electronic mail address, and other relevant information regarding the authorized representative of the Generating Asset Owner.
- 6.4 Time of Filing. For each Generating Asset in Active Service on the effective date of this General Order, the Generating Asset Owner shall file the Verified Statement within 45 days of the effective date of this General Order.

- 6.5 Time of Filing for Other Assets. For each Generating Asset placed in Active Service after the effective date of this General Order, the Generating Asset Owner shall file the Verified Statement within 45 days of the Generating Asset being placed in Active Service. When a Generating Asset Owner acquires a Generating Asset from an existing Generating Asset Owner, the new owner shall file a verified statement within 45 days of the effective date of the transfer of title or within 45 days of the transfer of possession, whichever date is later.
- 6.6 Compliance Document. Each Generating Asset Owner shall prepare and maintain a compliance document. The compliance document will be available at the generation facility site or remote control or switching center. The compliance document will show:
 - 6.6.1 Where data required by the Logbook Standards for Hydroelectric Facilities is recorded and maintained.
 - 6.6.2 How data is recorded and maintained (*e.g.*, hard copy or electronic).
 - 6.6.3 Any necessary format or presentation protocols that must be understood to decipher the meaning of the electronically or manually maintained data.
 - 6.6.4 Anything else reasonably necessary to fulfill or demonstrate compliance with the Logbook Standards for Hydroelectric Facilities.

(END OF APPENDIX 2)

CERTIFICATE OF SERVICE

I certify that I have by mail, and by electronic mail, to the parties to which an electronic mail address has been provided, this day served a true copy of the original attached Administrative Law Judge's Ruling Setting Dates for Comments on Commission Implementation and Enforcement of Hydroelectric Logbook Standards on all parties of record in this proceeding or their attorneys of record.

Dated April 9, 2004, at San Francisco, California.

/s/ KE HUANG

Ke Huang

N O T I C E

Parties should notify the Process Office, Public Utilities Commission, 505 Van Ness Avenue, Room 2000, San Francisco, CA 94102, of any change of address to insure that they continue to receive documents. You must indicate the proceeding number on the service list on which your name appears.

The Commission's policy is to schedule hearings (meetings, workshops, etc.) in locations that are accessible to people with disabilities. To verify that a particular location is accessible, call: Calendar Clerk (415) 703-1203.

If specialized accommodations for the disabled are needed, e.g., sign language interpreters, those making the arrangements must call the Public Advisor at (415) 703-2074 or TTY# 1-866-836-7825 or (415) 703-5282 at least three working days in advance of the event.